

AMS/FAST CHANGE REQUEST (CR) COVERSHEET

Change Request Number: 23-131

Date Received: September 19, 2023

Title: T3.13.1 Threshold Changes (Including Congressional)/Various Administrative Changes

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Initiator Organization Name / Routing Code: Procurement Policy Branch, AAP-110

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Policy and Guidance: (Please check only one box)

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|---|--|
| <input type="checkbox"/> Policy | <input type="checkbox"/> Procurement Tools and Resources |
| <input checked="" type="checkbox"/> Guidance | <input type="checkbox"/> Real Property Templates and Samples |
| <input type="checkbox"/> Procurement Samples | <input type="checkbox"/> Procurement Clauses |
| <input type="checkbox"/> Procurement Templates | <input type="checkbox"/> Real Property Clauses |
| <input type="checkbox"/> Procurement Forms | <input type="checkbox"/> Other Tools and Resources |
| <input type="checkbox"/> Procurement Checklists | |

Summary of Change:

(1) T3.13.1Ab-Changed references FROM: Procurement Instrument Identification Number (PIIN) TO: Procurement instrument Identifier (PIID).

(2) T3.13.1A1b.(4)-Deleted "Use for Non-COTS awards less than \$100,000." from P - Purchase Order.

(3) T3.13.1A3a.(1)-Increased Congressional Affairs Notification for New Awards FROM \$3.5M TO \$4.5M.

(4) T3.13.1A3a.(2)-Increased Congressional Affairs Notification for Modifications and DOs/TOs FROM \$3.5M TO \$4.5M.

(5) T3.13.1A3-AMS references to DOT form 4220.41 "Contract Award Notification" were changed to FAA FORM 4400-35 "Contract Award Notification" throughout T3.13.1A3.

(6) T3.13.1A6-"Records Requirements" the threshold was changed from \$3,500 to the micro-purchase threshold (\$10,000).

(7) T3.13.1A9b.-Updated the name of AAP-400 FROM: "Procurement Information and Services Branch" TO: "Acquisition Oversight and Procurement Branch."

(8) T3.13.1A11- Updated "FAA Writing Standards" FROM: FAA Order 1000.36" TO: "FAA Order 1000.36A."

(9) T3.13.1C DOT form 4220.41 "Contract Award Notification" was changed TO: FAA FORM 4400-35

Reason for Change:

- (1) Change was made in order to be consistent with the rest of the Federal Government for reporting purposes.
- (2) Threshold was no longer applicable and recommended to be removed by (AAP-100).
- (3) &(4) Thresholds increased based on comparison to the rest of the Federal Government and to allow AMS at least the same level of flexibility.
- (5) The Contract Award Notification form was changed from the DOT version to the FAA Form in the April 2023 CR. These administrative changes to T3.13.1 match the earlier change.
- (6) The need for the Records Requirements threshold change was identified by (AAP-400) and is the government standard.
- (7) Change matches AAP-400's current name.
- (8) Changed to match current FAA Order name.
- (9) Change made to be consistent with current AMS forms.

Development, Review, and Concurrence: AAP-110

Target Audience: FAA Acquisition Workforce

Briefing Planned: No.

ASAG Responsibilities: None.

Section / Text Location:

AMS Procurement Policy & Guidance - Procurement Guidance T3.13.1

The redline version must be a comparison with the current published FAST version.

- ☒ I confirm I used the latest published version to create this change / redline
- or**
- ☐ This is new content

Links: <https://fast.faa.gov/docs/procurementGuidance/guidanceT3.13.1.pdf>

Attachments:

GuidanceT3.13.1 final

GuidanceT3.13.1 redline

Other Files: N/A.

Redline(s): See below.

Section Revised: T3.13.1 – Other Administrative Procedures

Procurement Guidance - (~~7/2023~~10/2023)

T3.13.1 Other Administrative Procedures Revised 1/2009

A Administrative Matters

- 1 Numbering System for Procurement Instruments Revised ~~9/2020~~10/2023
- 2 Contract Format for Products, Services, and Construction Revised 9/2020
- 3 Congressional Affairs Notification Revised ~~9/2021~~10/2023
- 4 Press Release and Public Announcement of Award Revised 7/2021
- 5 Federal Procurement Data System (FPDS) and FPDS Data Quality Revised 9/2020
- 6 Record Requirements Revised ~~9/2020~~10/2023
- 7 Records Retention Revised 7/2021
- 8 Annual Procurement Forecast Revised 7/2021
- 9 Reports Revised ~~7/2020~~10/2023
- 10 Contractor Attendance at FAA-Sponsored and Other Government Training Revised 9/2021
- 11 Plain Language Added 7/2006Revised 10/2023
- 12 Reserved Revised 7/2020
- 13 Procurement System Record Cancellation Added 7/2021

B Clauses

C Procurement Forms Revised ~~9/2021~~10/2023

D Procurement Samples Added 9/2021

E Procurement Templates Added 9/2021

F Procurement Tools and Resources Added 9/2021

G Appendix Added 9/2021

- 1 Appendix - Annual Procurement Forecast Added 9/2020
 - 2 Appendix - Major Procurement Program Goals (MPPG) Added 9/2020
 - 3 Appendix - Pre-AMS MPPG (Actuals) Report Added 9/2020
 - 4 Appendix - Post AMS MPPG (Actuals) Report Added 9/2020
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T3.13.1 Other Administrative Procedures Revised 1/2009

A Administrative Matters

1 Numbering System for Procurement Instruments Revised 9/202010/2023

a. A uniform numbering system allows FAA to identify, control, and track each procurement action, from procurement request through award and close-out. This numbering system is applied through FAA's automated procurement system. Use of the FAA's procurement numbering system is required for all procurement requests and procurement instruments, including written screening information requests, purchase orders, delivery orders, task orders, agreements, leases, contracts, and all forms of awards, regardless of monetary consideration.

b. The Procurement Instrument ~~Identification Number (PIN)~~Identifier (PIID) must consist of 14 alphanumeric characters:

(1) *Positions One and Two.* A two-digit numeric code identifying the procuring agency. This code must always be "69" which is the identifier for the Department of Transportation.

(2) *Positions Three, Four, Five and Six.* A four-digit alphanumeric code identifying the Activity Address Code (AAC) as the unique identifier for Federal Aviation Administration contracting offices.as follows:

Acquisition		Real Estate	
Office	AAC	Office	AAC
AAQ-200	3KA7	AAQ-900 (ES)	435Z
AAQ-300	3KA8	AAQ- 900 (CS)	7DCM
AAQ-400	3KA9	AAQ-900 (WS)	0EG4
AAQ-500	7DCK		
AAQ-600	2M15		

AAQ-700	73GH		
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***NOTE:** Starting for all FY 2018 awards. DT (Dept. of Transportation), WA (Headquarters), AC (Aeronautical Center) and CT (Technical Center) are changed to the new unique Activity Area Codes (AAC) above.

(3) *Positions Seven and Eight.* A two-digit numeric code that is the last two digits of the fiscal year in which the ~~PHN~~PIID is assigned.

(4) *Position Nine.* A one-digit alphabetic code identifying the type of procurement instrument (i.e., agreement, contract, etc.) as follows:

A – Blanket Purchase Agreement (BPA). Use for Blanket Purchasing Agreement (BPA).

C - Contract. Use for all contracts, including letter contracts. Does not apply to real property transactions.

D - Indefinite-Delivery Contract. Use for indefinite quantity, definite quantity, and requirements contracts.

F – Delivery/Task Order, Blanket Purchase Agreement (BPA) Call and Blanket Ordering Agreement (BOA) Orders. Use when placing orders directly against DOT or FAA contracts and against contracts administered by another agency, i.e., Federal Supply Schedules, Government-Wide Action Contracts (GWACS). Does not apply to real property transactions.

G – Blanket Ordering Agreement (BOA). Use for Blanket Ordering Agreement (BOA).

H - Agreement. Excludes Blanket Purchase Agreements, Basic Ordering Agreements and Leases. Does not apply to real property transactions.

K - Land Purchase and Condemnation. Use for acquisition of permanent real estate interests (fee simple) by purchase or condemnation. Does not include leasehold interests (land or space) or easements in real property.

L - Lease Agreement. Use for leasing real and personal property, and products or equipment. Also, includes instruments for both land and space where the Government obtains real estate rights, and all easements including aerial easements for a limited period of time, and may or may not be monetary in consideration. Does NOT include Interagency Agreements. This ~~PHN~~PIID will also be used for Multiple Payees.

M - Utilities. Use for contracts for electric, telephone, water, natural gas, and other utilities, including delivery/task orders against external contracts. Includes FAA

delivery orders against GSA area-wide and GSA commodity contracts for utilities.

N – *Inter-agency Agreement and Intra-agency*. Use when obtaining products or services from or through another Federal agency when that servicing agency may be in a position or equipped to supply, render, or obtain by contract. Does not apply to real property transactions.

N - *Reimbursable Agreement*. Use when FAA enters into an agreement to *provide* products or services and receives payment for the products or services rendered and not covered otherwise.

P - *Purchase Order*. Use for all Commercial-Off-The-Shelf (C O T S) purchase orders and NIB/UNICOR. Also, appraisals, surveys, title, closing, and other work related to leasing or acquiring real estate rights. ~~Use for Non-COTS awards less than \$100,000.~~

Q - *Request for Quote*. Use when soliciting contracts by request for quote.

R - *Request for Offer*. Use when soliciting contracts by screening information request (SIR) for qualifications, information, or offer.

S - *Sales Contract (Account Receivable)*. Use for sales and other disposal of real and personal property.

T – *Other Transaction Agreement (OTA)*. Use when placing all other types of agreements.

The letters not listed above are reserved. The reserved letters may not be used to identify an FAA procurement instrument in lieu of the above designated codes assigned to the type of instrument.

(6) *Positions Ten through Fourteen*. At the discretion of the Chief of the Contracting Office, these characters may be numeric or alphanumeric. A separate set of serial numbers may be used for any type of procurement instrument.

c. *Illustration of the PHNPIID*. An example of a PHNPIID is as follows: 6973GH-18-R-00001 identifies an RFO issued by the Department of Transportation, Federal Aviation Administration, Aeronautical Center, Oklahoma City, OK in fiscal year 18.

d. *Supplementary PHNsPIIDs*. A supplementary number must be used with the basic PHNPIID to identify the following:

(1) *Amendments to Screening Information Request (SIR)*. Amendments must be assigned a four position numeric serial number, sequentially beginning with 0001. A sample amendment number would be 69DCK-18-R-00001-0001.

(2) *Modifications to Contracts, Agreements, and Orders*. Modifications to contracts,

agreements, and orders must be numbered sequentially with a six-position alphanumeric serial number beginning with P00001.

e. *Contract Line Item Number (CLIN)*. CLINs are numbered consecutively beginning with 001, according to the functionality of the procurement system.

f. *Procurement Request (PR) Requisition Number*. Requisitioning Office PRs will continue to be numbered according to the following convention, beginning with the FAA Identifier code for the requisitioning office two character designator (see below), followed by the last two digits of the budget year for which the obligation is intended (corresponding with the budget year in the project and accounting codes of the request), then a five digit sequential number assigned by the procurement system, and finally a two or three character suffix, if required.

Identifier Codes:

WA – FAA Headquarters	ES - Eastern Service Area	CS - Central Service Area
AC - Aeronautical Center	ES – Real Estate CO Eastern Service Area	WS - Western Service Area
CT - Technical Center	CS – Real Estate CO Central Service Area	WS – Real Estate CO Western Service Area
WA – RECO FAA Headquarters	TPC – Purchase Card (all areas)	

Examples of requisition numbering are: CS-18-00001, indicates a standard PR issued by the Central Service Area intended for award in FY17. A PR with the number WS-18-00001RE indicates that it originated in the Western Service Area, intended for award in FY18, and is specially designated for Real Estate.

2 Contract Format for Products, Services, and Construction Revised 9/2020

Each request for offer or contract should be tailored to include only those elements required, at an appropriate level of detail, to make the contract a binding and enforceable document. For uniformity, the format of each request for offer or contract may be structured according to the following outline:

Part I - The Schedule.

Section A - Contract

Section B - Supplies or Services and Prices/Costs

Section C - Description/Specifications/Work Statement

Section D - Packaging and Marking

Section E - Inspection and Acceptance

Section F - Deliveries or Performance

Section G - Contract Administration Data

Section H - Special Contract Requirements

Part II - Contract Clauses.

Section I - Contract Clauses

Part III - List of Documents, Exhibits, and Attachments.

Section J - List of Documents, Exhibits, and Attachments

Part IV - Representations and Instructions.

Section K - Representations, Certifications, and Other Statements of Offerors

Section L - Instructions, Conditions, and Notices to Offerors

Section M - Evaluation Factors for Award

3 Congressional Affairs Notification Revised 9/202410/2023

a. The following require official notification to Congress *before* releasing an award and distributing the contractual instrument:

(1) *New Awards.* Congress must be notified at least 48 hours, excluding Federal holidays and weekends, before awarding any contract or other agreement of \$~~34~~.5 million or more (total value including all options or ceilings), excluding interagency agreements. The DOT Assistant Secretary for Government Affairs (I-1) or designee notifies Congress, and advises the Contracting Officer (CO) that the contract or agreement may be released. The CO may sign the contract or agreement, but information about the award must not be released outside of DOT until completing the Congressional notification procedures in this section.

(2) *Modifications and Delivery/Task Orders.* Notification is not required for modifications and delivery/task orders of \$~~34~~.5 million or more if Congress was notified about the initial award; otherwise, Congressional notification is required.

b. Notification must be made via ~~form DOT F 4220.41~~ FAA Form 4400-35, "Contract Award Notification." ~~A~~The Congressional Affairs Notification template ~~of the, which contains~~ language to use in the notification email sent to the DOT Assistant Secretary for Government Affairs (I-1)), can be found

on the FAST under Procurement Templates. ~~The “Contract Award Notification” form DOT F 4220.41~~FAA Form 4400-35 is to be sent to the DOT Assistant Secretary for Government Affairs (I-1), with concurrent courtesy copies to:

(1) FAA Office of Government and Industry Affairs (AGI-1);

(2) FAA Acquisition Executive (ACQ-1);

(3) Chief Operating Officer (if ATO is the requiring organization) or Associate/Assistant Administrator (if other than ATO is the requiring organization), through the CO’s management; and

(4) The Office of Communications (AOC-1).

c. The CO must complete all blocks of ~~form DOT F 4220.41~~FAA Form 4400-35 and send it to the Assistant Secretary for Government Affairs (I-1), via email or fax at (202) 366-7346. Block 9 of the form may be revised to show an applicable AMS procurement method. The CO is responsible for documenting the date I-1 received the form; to confirm receipt, the CO may call (202) 366-4573.

d. Unless I-1 or designee requests the CO or other designated official not to proceed with award, awards may be announced on the **third** working day following I-1’s receipt of ~~DOT F 4220.41~~FAA Form 4400-35.

e. The official contract file must include a copy of ~~form DOT F 4220.41~~FAA Form 4400-35 and documentation of I-1’s receipt of the form.

f. Real property awards do not require Congressional notification, unless Member(s) of Congress specifically request notification of award, in which case, the CO must provide award notifications.

4 Press Release and Public Announcement of Award Revised 7/2021

a. Congressional notification procedures, if applicable, must be completed before the CO or other designated official issues a press release or public announcement.

b. *Press Release.* A press release may be appropriate for awards of interest to the general public. The determination of what is or is not newsworthy must consider factors such as dollar amount of the action, uniqueness, or public interest associated with the requirement. The CO should contact the Office of Public Affairs (AOC-300) for advice, and help with preparing a press release; Service Area, Region and Center personnel should coordinate a press release with their local public affairs office. The CO should request a press release approximately four weeks before planned award.

c. *Public Announcement.* Although AMS policy does not require public announcement for all awards, the CO should consider announcing an award involving large funding amounts, subcontracting opportunities, or high public visibility. Award information should be announced

promptly and via Contract Opportunities located at <https://SAM.gov>, the Internet, trade magazines, or local newspapers. Award announcements are for informational purposes only and should include:

- (1) Contract number;
- (2) Contractor name and address;
- (3) Brief description of the requirement;
- (4) Total value;
- (5) Award date; and
- (6) Contracting Officer's name, email, and telephone.

5 Federal Procurement Data System (FPDS) and FPDS Data Quality Revised 9/2020

- a. *Use for Data.* The FAA uses the Federal Procurement Data System (FPDS) module within the procurement system as the means for collecting, maintaining, and reporting procurement award data to Congress, the Executive Branch, FAA management, audit and evaluation organizations, and the private sector. These groups use the data to measure and assess the impact of FAA procurement on the U.S. economy, the extent to which small business and small disadvantaged business firms share in FAA awards, the impact of competition on the procurement process, and for other policy and management purposes.
- b. *FPDS User Guide.* The procurement system FPDS User Guide provides full instructions and a complete list and description of the data reporting fields and options within fields, and when to appropriately use the options. The [FPDS User Guide](#) (FAA only) is on the National procurement system website under Training.
- c. *Public Access.* The Federal Funding Accountability Transparency Act requires FAA to make procurement award data publicly available. Government-wide award data is sent through FPDS- NG to the public website USASpending.gov. The FAA submits its award data to FPDS-NG by using the General Services Administration's Business Services. This process allows FAA to automatically send daily batch files to FPDS-NG, bypassing FPDS-NG's front-end edit checks, once an award passes the FAA's own edit checks.
- d. *System for Award Management.* The CO must ensure that the awardee is registered in the System for Award Management (SAM) System before award is made.
- e. *Annual Certification.* After the close of each fiscal year, the FAA Acquisition Executive certifies to the percentage of FPDS data that is accurate, timely, and complete. To support of this annual certification, the CO must enter all FPDS data for awards when the award is approved in procurement system. The CO must enter complete and accurate information for each data field in FPDS. The PRISM FPDS User Guide provides an explanation of each data element to be entered.

f. *File Documentation.* The procurement system FPDS User Guide requires the CO to print and place a copy of the completed FPDS form in the contract file. If subsequent FPDS award exception reports require corrections to FPDS entries, the CO must correct the entries and print another form with changes and place it in the contract file.

g. *Reviewing Exception Reports.* At least quarterly, the CO's branch manager or team lead must review the procurement system award exception report to ensure all procurement actions have been entered and the data is accurate and complete. The branch manager or team lead must ensure that corrections are made within 30 days of the date of the report.

6 Record Requirements Revised 9/202010/2023

a. The Procurement System Federal Procurement Data System (FPDS) module includes the index of unclassified records of all procurements exceeding ~~\$3,500 by fiscal year~~ the micro-purchase threshold.

b. For procurements under AMS, FAA will be able to access, as a minimum, the following information:

- (1) The date of contract award.
- (2) Information identifying the source to which the contract was awarded.
- (3) The property or services obtained by the Government under the procurement.
- (4) The total cost of the procurement.
- (5) Single source procurements.
- (6) The identity of the organization or activity that conducted the procurement.
- (7) Awards to small disadvantaged businesses using either set-asides or unrestricted competition.
- (8) Awards to business concerns owned and controlled by women.
- (9) The number of offers received in response to a screening information request.
- (10) Task or delivery order contracts.

7 Records Retention Revised 7/2021

The [Federal Records Act \(44 U.S.C. 31\)](#) and other statutes require all federal agencies to create records that document Agency activities, file records for safe storage and efficient retrieval, and dispose of

records according to Agency schedules. The FAA Records Management program is responsible for implementing and enforcing all applicable Federal, DOT, and FAA laws, directives, and policies regarding the disposition of official government records. FAA Order 1350.14B prescribes the requirements and responsibilities for conducting the agency's Records Management Program and covers all records, regardless of physical form or characteristics, made or received by FAA under Federal law.

For Financial Management and Report records maintained by the FAA, the following record disposition instructions apply:

- (a) All records pertaining to procuring goods and services, paying bills, collecting debts, and accounting shall be disposed 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
- (b) All records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and/or classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an Agency's annual financial statements shall be destroyed 2 years after asset is disposed of and/or removed from the Agency's financial statement, but longer retention is authorized if required for business use.

For more information on the disposition of records created by the FAA in carrying out the work of financial management please refer to the National Archives and Records Administration (NARA) General Records Schedule 1.1: Financial Management and Reporting Records located at <https://www.archives.gov/files/records-mgmt/grs/grs01-1.pdf>.

8 Annual Procurement Forecast Revised 7/2021

- a. In order to provide the small business community with reasonable procurement opportunities and to comply with the President's desire to expand procurement opportunities for small businesses, it is the policy of the FAA to make its Annual Procurement Forecast available to interested business owners. The forecast is for informational and marketing purposes only and does not constitute a specific offer or commitment by the FAA to fund any of the procurements listed.
- b. Whether on the Internet or in hard copy, this document must be provided to the public and to the FAA Small Business Program (AAP-20), not later than October 1, of each fiscal year.
- c. Information should include as a minimum:
 - (1) All planned new procurement actions scheduled for award during the current fiscal year excluding interagency agreements, federal supply schedules and credit card purchases;
 - (2) A brief description of the anticipated procurement;

- (3) The estimated dollar amount of the procurement in a range, e.g. \$500,000-\$1,000,000;
- (4) A name and phone number of a person knowledgeable about the procurement;
- (5) The anticipated fiscal year quarter of the screening information request release and contract award;
- (6) The method of procurement (i.e. set-aside, single source unrestricted).

9 Reports Revised 7/202010/2023

a. *Requirements.* The FAA remains subject to certain statutory, regulatory, and policy requirements and must continue to report the following:

(1) *Report of Proposed Federal Construction.* Construction programs estimated to exceed \$500,000 are subject to Davis-Bacon Act regulations at 29 CFR 1.4. This CFR section requires the FAA to furnish the Department of Labor a general outline of its proposed construction programs for the upcoming fiscal year. The report must identify the estimated number of projects that will require wage determinations, the anticipated types of construction, and the locations of construction. Due Annually; March 20.

(2) *Resource Conservation and Recovery Act Report (RCRA) and Executive Order(EO) 12873 Annual Report.* Section 6002 of RCRA requires Office of the Federal Procurement Policy (OFPP) to report to Congress on the actions taken by agencies to implement this statute. EO 12873 reinforces affirmative procurement, waste minimization, and recycling efforts and requires Federal agencies to report on their efforts to the Office of the Federal Environmental Executive (OFEE). To simplify the reporting process and reduce the reporting burden placed on agencies, the OFPP and the OFEE have merged the reporting requirements of section 6002 of RCRA, and EO 12873 into a single annual report. The report is divided into the Agency Summary Report and the Supply Center Summary Report. The report covers commercial purchases of items contained in the Comprehensive Procurement Guidelines, as well as affirmative procurement, waste minimization and recycling efforts. Due Annually; February 26 (see AMS Procurement Forms).

(3) *Semiannual Labor Compliance Report.* Davis-Bacon Act regulations at 29 CFR 5.7 require data on compliance with and enforcement of the construction labor standards requirements of the Davis-Bacon Act and Contract Work Hours and Safety Standards Act. The report will identify enforcement actions taken by the contracting offices. Due Semi-Annually; October 20 & April 20 (see AMS Procurement Forms).

(4) *Lobbying Disclosure Report.* Public Law 101-121 requires contractors to disclose any lobbying activities. The Lobbying Disclosure Act of 1995 eliminated the requirement to forward a copy of each disclosure form, SF LLL to Congress

semiannually. Therefore, this report is no longer required. The original SF LLL should continue to be retained in the contract file.

(5) *Major Procurement Program Goals (MPPG)*. Pursuant to Executive Order 12928 of 9/16/94, the FAA Administrator will report to the Administrator of the Small Business Administration through the Secretary of the Department of Transportation on the extent of achievements against the MPPG established. Three reports that include the number and dollar obligation of all procurements for each MPPG, excluding interagency agreements, are required by AAP-20.

b. *Responsibilities.*

(1) The Chief of the Contracting Office (COCO) must collect, compile and submit for their respective organizations the reports outlined below. Reports must be received by ~~Procurement Information~~Acquisitions Oversight and ~~Services~~Reporting Branch (AAP-400), or other designated recipient, prior to the stated due dates. The COCO must also provide negative responses when there is no data to report for a particular report during the reporting period.

(2) ~~The Procurement Information and Services Branch (AAP-400)~~ will consolidate the reports that are required to be submitted to AAP-400 into a single agency-wide report for submission to the various requesters prior to their prescribed due dates. All other reports will be submitted by the Logistics Service Areas, Centers, and Headquarters, directly to the requester.

c. Specifics about each report are as follows:

<u>Title of Report</u>	<u>Format</u>	<u>Reporting Period</u>	<u>Due Date to AAP-400</u>
Report of Proposed Federal Construction	FAA Form 4474-5	Annually; prospective activity for the next fiscal year.	March 20
Resource Conservation and Recovery Act Report	OFPP and OFEE prescribed format. Negative responses required.	Annually; for the prior calendar year.	February 26
Semiannual Labor Compliance Report	No prescribed format; an original and one copy is required.	Semi-annually; for the prior 6 month period.	October 20; April 20
Lobbying Disclosure Report	No longer required.	Not applicable.	Not applicable.
Major Procurement Program Goals (Projection)	Format prescribed by AAP-20; Report directly to AAP-20 by Memorandum from the	Annual, prior to October 1 of each fiscal year. (See AMS Section 3.6.1.3)	N/A

	ATO Vice Presidents, FAA Associate and Assistant Administrators, Regional Administrators and Center Directors. (See Appendix 2)		
Pre-AMS Major Procurement Program Goals (Actuals)	Format prescribed by AAP-20; Report directly to AAP-20 in writing from the FAA Headquarters Director of Acquisition and Contracting, Regional Administrators and Center Directors. (See Appendix 3)	Quarterly, by the 15 th of the month following the reporting period. (See AMS Section 3.6.1.2)	N/A
Post AMS Major Procurement Program Goals (Actuals)	Format prescribed by AAP-20; Report directly to AAP-20 in writing from the FAA Headquarters Director of Acquisition and Contracting, Regional Administrators and Center Directors. (See Appendix 4)	Quarterly, by the 15 th of the month following the reporting period. (See AMS Section 3.6.1.2)	N/A

10 Contractor Attendance at FAA-Sponsored and Other Government Training Revised 9/2021

a. *FAA Sponsored Training.*

(1) *General* Prior to attending classroom FAA-sponsored training, all support contractors are required to submit the "Support Contractor Attendance at FAA Sponsored and Other Government Training Authorization Form " (see Procurement Forms) to the appropriate Contracting Officer. Support contractors are not required to submit the "Support Contractor Attendance at FAA Sponsored and Other Government Training Authorization Form" when taking online FAA-sponsored training; unless the support contractor will take the online FAA-sponsored training on contractual billable hours. The Contracting Officers may authorize support contractors to participate in FAA-sponsored training, if training is

authorized in the support contract and the training hours may be billed as direct hours to the contract. When training is NOT specifically authorized in the provisions of the contract FAA will NOT pay direct hourly charges associated with the number of hours spent in training. The following conditions apply when training is not specifically authorized in the provisions of the FAA contract.

(a) *Unique Content.* Support contractors may be allowed to attend FAA sponsored training related to Agency-unique subject areas (such as the AMS), on a space-available basis. However, FAA will only pay direct hourly charges associated with the training if the conditions listed in a. (1) are met.

(b) *Non-unique Content.* In principle, when training is NOT covered under the support contract there is a presumption that the contractor is obligated to provide contractor personnel with the requisite expertise and training. Therefore, if the FAA provides training in an area that is not Agency-unique, the contract price should be reduced accordingly.

(c) *Unauthorized Actions.* If training is authorized by anyone other than the Contracting Officer, and the contract provisions do not provide for the training, the action is unauthorized and must be processed as an unauthorized commitment. (See T3.1.4 Delegations)

(d) *Contractor Required Training.* Courses identified as mandatory at the FAA, and placed in the eLMS Contractor Course catalog may be taken at will by FAA contractors and the training hours may be billed as direct hours to the contract. Courses may only be entered into the catalog with the approval of the manager of AAP-100.

(2) *Responsibilities.*

(a) *Contracting Officer.* The Contracting Officer may include language in contracts regarding the inclusion of contractors in FAA sponsored training and make the final determination whether or not a course is FAA-unique. The Contracting Officer is the only person with authority to approve Government training for a contractor, since it involves the expenditure of government funds. The Contracting Officer should provide a copy of the signed authorization to the Course Manager and retain the original in the contract file.

(b) *Contractors.* Prior to attending FAA-sponsored training, a support contractor must submit a "Support Contractor Authorization" form to the appropriate Contracting Officer. The form should be approved by both the requestor's Contracting Officer's Representative and the Contracting Officer and provided to the Course Manager on or before the first day of class.

(c) *Course Instructor.* The Course Instructor is not authorized to admit support contractor employees to a course without the Contracting Officer's authorization on the approval form. Any issues regarding attendance of support contractors are to be referred to the Course Manager.

(d) *FAA Course Manager.* The Course Manager should provide guidance to support

contractors regarding the requirement for "Support Contractor Authorization" form and manage any issues referred by the Course Instructor pertaining to the support contractor's authorization to attend the training. Additionally, the Course Manager should retain copies of signed forms with the training roster and ensure that a signed authorization is on file for all support contractors attending FAA sponsored training. The class roster should indicate the support contractor's company name and include the following legend: *"Failure to correctly indicate that you are an employee of a support contractor will be a material misrepresentation under the terms of the contract."*

b. Other Government Training.

FAA contractors may be eligible to take free-of-charge training through other Government sources such as the Federal Acquisition Institute (FAI) or Defense Acquisition University (DAU). Contractor eligibility to take a course will be determined by the Government entity sponsoring the training. Contractors must follow the Government sponsor's eligibility, registration and approval procedures.

If required by the other Government entity, FAA approval of the training will be provided by the FAA Contracting Officer or the Contracting Officer's designee. The contractor must request FAA approval using the support contractor training authorization form in the FAST. FAA will consider whether the training is necessary for the contractor's performance under the contractor's FAA contract, or whether the training would be beneficial to the FAA.

11 Plain Language Added 7/2006 Revised 10/2023

When the statement of work for a contract requires the contractor to deliver any document that will be published, either electronically or in hard copy, for dissemination outside the FAA, or for broad dissemination within the FAA, the document must comply with FAA Order 1000.3636A, "FAA Writing Standards." Typical documents covered by this requirement include scientific reports, study or survey results, newsletters, regulations, advisory circulars, orders, manuals, ATO Leaders Report, Reports to Congress, and FAA Today. This requirement does not apply to technical documents arising from contract administration, such as earned value management system reports, design review data packages, test plans, or integrated logistics support plans.

There is an equivalent contract clause implementing the above requirement.

12 Reserved Revised 7/2020

13 Procurement System Record Cancellation Added 7/2021

The Procurement System will automatically discard all approved records that have been cancelled by the procurement system administrator or Contracting Officer after a period of 180 days. The record will officially be marked as "cancelled" and the system will discard of the record. Examples of approved records that qualify for cancellation in the procurement system are as follows:

- (a) No funds have been obligated against the system generated record;
- (b) No performance or services have been executed against the system generated record; and
- (c) No acceptance of goods or services have been applied against the system generated record.

Once the record is cancelled by the procurement systems administrator or Contracting Officer, the record is non-recoverable. Any cancelled records can be re-created within the Procurement System at the discretion of the CO.

B Clauses

[view contract clauses](#)

C Procurement Forms Revised 9/202110/2023

Document Name
Contract Award Notification (DOT-4220.41 FAA Form 4400-35)
Resource Conservation and Recovery Act Report
Semiannual Labor Compliance Report
Support Contractor Attendance at FAA Sponsored and Other Government Training Authorization Form

D Procurement Samples Added 9/2021

Document Name

E Procurement Templates Added 9/2021

Congressional Affairs Notification Template

F Procurement Tools and Resources Added 9/2021

G Appendix Added 9/2021

APPENDIX 1 – Annual Procurement Forecast Added 9/2020

ANNUAL PROCUREMENT FORECAST FORMAT

Program Office & Point of Contact	Description of Procurement Planning Procurement Information	Incumbent Contractor & Current Contract Number (if available)
(Include Office Title, Release Routing Symbol, Method Telephone Number whether with Area Code)	(Include Brief Description, SIC Code Estimated Value, Performance Location indicating City & State)	(Include Estimated SIR Date, Estimated Award Date, of Procurement, indicate Set-Aside or not)

* Do Not Include Modifications to Existing Procurements

Method of Procurement: (i.e., set-aside, single Source unrestricted)

APPENDIX 2 – Major Procurement Program Goals (MPPG) Added 9/2020

**DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

**MAJOR PROCUREMENT PROGRAM GOALS (PROJECTION)
FISCAL YEAR**

(DOLLARS IN MILLIONS)

REPORTING OFFICE: _____

Fiscal Year % of No. of

\$ Goal Goal Actions

- (1) Total Procurements..... _____ N/A
- (2) Awards to Small Businesses..... _____ % (% of 1) _____
- (3) Awards to SEDB (8(a))..... _____ % (% of 1) _____
- (4) Awards to Small Disadvantaged Businesses..... _____ % (% of 1) _____
- (5) Awards to Small Businesses Owned and Controlled by Women..... _____ % (% of 1) _____
- (6) Total Subcontracts Awarded by Prime Contractors..... _____ N/A
- (7) Subcontracts Awarded to Small Businesses..... _____ % (% of 6) _____
- (8) Subcontracts Awarded to Small Businesses Owned and Controlled by Socially and Economically Disadvantaged Individuals..... _____ % (% of 6) _____
- (9) Subcontracts Awarded to Small Businesses
Owned and Controlled by Women..... _____ % (% of 6) _____

APPENDIX 3 – Pre-AMS MPPG (Actuals) Report Added 9/2020

PRE-ACQUISITION MANAGEMENT SYSTEM (AMS)

**MAJOR PROCUREMENT PROGRAM GOALS (ACTUALS) REPORT (MPPGR)
DATA ITEM DESCRIPTIONS (2/98)**

Pre-AMS reports are to be generated containing the following data elements:

Pre-AMS Procurement Obligations, as used in the MPPGR, is the sum of all procurement obligations that are **not** awarded pursuant to the AMS (excludes interagency agreements).

Total Awards (Item 1) are all pre-AMS procurement obligations awarded to large and small businesses excluding all interagency agreements. Item 1 must be equal to or greater than the sum of Items 2 - 5.

Awards to Small Business Concerns (Item 2) are all pre-AMS procurement obligations awarded to small business concerns (i.e. 8(a) businesses, small business concerns owned and controlled by socially and economically disadvantaged individuals, small businesses owned and controlled by

women and all other small businesses). Item 2 must be equal to the sum of Items 3 - 5.

Awards to 8(a) Concerns (Item 3) are all pre-AMS procurement obligations awarded to 8(a) firms via FSS, 8(a) competitive set-asides and/or 8(a) non-competitive set-asides only. Do not count in Item 3 if counted in Items 4 or 5.

Awards to Small Business Concerns Owned and Controlled by Socially and Economically Disadvantaged (SDB) Individuals (Item 4) are all pre-AMS procurement obligations awarded to SDBs excluding awards to 8(a) firms via 8(a) competitive set-asides and/or 8(a) non-competitive set-asides. Do not count these awards in Item 4 if counted in Items 3 or 5.

Awards to Small Business Concerns Owned and Controlled by Women (WOB) (Item 5) are all pre-AMS procurement obligations awarded to WOBs excluding awards to 8(a) firms via 8(a) competitive set-asides and/or 8(a) non-competitive set-asides. Do not count these awards in Item 5 if counted in Items 3 or 4.

Total Subcontracts Awarded by Prime Contractors (Item 6) are all pre-AMS subcontract obligations awarded to large and small businesses. Item 6 must be equal to or greater than the sum of Items 7 - 9.

Subcontracts Awarded to Small Business Concerns (Item 7) are all pre-AMS subcontract obligations awarded to small businesses. Item 7 must be equal to or greater than the sum of Items 8 and 9.

Subcontracts Awarded to Small Business Concerns Owned and Controlled by Socially and Economically Disadvantaged Individuals (Item 8) are all pre-AMS subcontract obligations awarded to SDBs. Do not count these awards in Item 8 if counted in Item 9.

Subcontracts Awarded to Small Business Concerns Owned and Controlled by Women (Item 9) are all pre-AMS subcontract obligations awarded to WOBs. Do not count these awards in Item 9 if counted in Item 8.

Actual This Period (Column 3) are all pre-AMS procurement obligations awarded during the current reporting period.

Cumulative Actual to Date (Column 4) are all pre-AMS procurement obligations awarded from October 1 of the current fiscal year through end of the current reporting period.

Number of Actions (Column 5) are the number of pre-AMS procurement actions that correlate to the "Actual This Period" procurement obligations (Column 3) or the "Cumulative Actual to Date" (Column 4).

SAMPLE 3 – (cont'd.)

FEDERAL AVIATION ADMINISTRATION PRE-ACQUISITION MANAGEMENT SYSTEM

MAJOR PROCUREMENT PROGRAM GOALS (ACTUAL) REPORT*

REPORTING OFFICE/DATE OF REPORT _____

FISCAL YEAR _____

(Dollars in)

Column 1	Column 2	Column 3	Column 4	Column 5
		Actual This Period	Cumulative Actual to Date	Number of Actions
1.	Total Awards	\$	\$	
2.	Awards to small Business Concerns (Include Items 3, 4, and 5 below)	\$	\$	
3.	Awards to 8(a) Concerns	\$	\$	
4.	Awards to Small Business Concerns owned and Controlled by Socially and Economically Disadvantaged Individuals (Exclude Item 3)	\$	\$	
5.	Awards to Small business Concerns Owned and Controlled by Women (Exclude Item 3)	\$	\$	
6.	Total Subcontracts Awarded by Prime Contractors	\$	\$	
7.	Subcontracts Awarded to Small Business Concerns	\$	\$	
8.	Subcontracts Awarded to Small business Concerns Owned and Controlled by Socially and Economically Disadvantaged Individuals	\$	\$	

9.	Subcontracts Awarded to Small Business Concerns Owned and Controlled by Women	\$	\$	
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* INCLUDE ALL PRE-AMS PROCUREMENT ACTIONS ON THIS REPORT EXCEPT INTERAGENCY AGREEMENTS.

APPENDIX 4 – Post AMS MPPG (Actuals) Report Added 9/2020

POST-ACQUISITION MANAGEMENT SYSTEM (AMS)

MAJOR PROCUREMENT PROGRAM GOALS (ACTUALS) REPORT (MPPGR) DATA ITEM DESCRIPTIONS (2/98)

Post-AMS reports are to be generated containing the following data elements:

Post-AMS Procurement Obligations, as used in the MPPGR, are all procurement obligations that are awarded pursuant to the AMS only (excludes interagency agreements).

Total Awards (Item 1) are all post-AMS procurement obligations awarded to large and small businesses excluding all interagency agreements. Item 1 must be equal to or greater than the sum of Items 2 - 5.

Awards to Small Business Concerns (Item 2) are all post-AMS procurement obligations awarded to small business concerns (i.e. very small businesses, 8(a) businesses, small business concerns owned and controlled by socially and economically disadvantaged individuals, small businesses owned and controlled by women and all other small businesses). Item 2 must be equal to the sum of Items 2.1 - 5.

Very Small Business Set-Asides (Item 2.1) are all post-AMS procurement obligations awarded to very small businesses via FSS and/or very small business set-asides only. Do not include awards to very small businesses if the award was not made as a result of a FSS and/or very small business set-aside. Do not count very small business set-aside awards in Items 3, 4, or 5. Do not count in Item 2.1 if counted in Items 3, 4, or 5.

SEDB Set-Asides (8(a) (Item 3)) are all post-AMS procurement obligations awarded to 8(a) firms via FSS and/or SEDB set-asides only. Do not include awards to 8(a) firms if the award was not made as a result of a FSS and/or SEDB set-aside (8(a)). Do not count in Item 3 if counted in Items 2.1, 4, or 5.

Awards to Small Business Concerns Owned and Controlled by Socially and Economically

Disadvantaged (SDB) Individuals (Item 4) are all post-AMS procurement obligations awarded to SDBs excluding awards to 8(a) firms via SEDB 8(a) set-asides (Item 3). Do not count these awards in Item 4 if counted in Items 2.1, 3, or 5.

Awards to Small Business Concerns Owned and Controlled by Women (WOB) (Item 5) are all post-AMS procurement obligations awarded to WOBs excluding awards to 8(a) firms via SEDB 8(a) set-asides. Do not count these awards in Item 5 if counted in Items 2.1, 3, or 4.

Total Subcontracts Awarded by Prime Contractors (Item 6) are all post-AMS subcontract obligations awarded to large and small businesses. Item 6 must be equal to or greater than the sum of Items 7 - 9.

Subcontracts Awarded to Small Business Concerns (Item 7) are all post-AMS subcontract obligations awarded to small businesses. Item 7 must be equal to or greater than the sum of Items 8 and 9.

Subcontracts Awarded to Small Business Concerns Owned and Controlled by Socially and Economically Disadvantaged Individuals (Item 8) are all post-AMS subcontract obligations awarded to SDBs. Do not count these awards in Item 8 if counted in Item 9.

Subcontracts Awarded to Small Business Concerns Owned and Controlled by Women (Item 9) are all post-AMS subcontract obligations awarded to WOBs. Do not count these awards in Item 9 if counted in Item 8.

Fiscal Year Goal (Column 3) are the agency-wide fiscal year goals established for each post-AMS MPPGR category (Column 2).

Actual This Period (Column 4) are all post-AMS procurement obligations awarded during the current reporting period.

Cumulative Actual to Date (Column 5) are all post-AMS procurement obligations awarded from October 1 of the current fiscal year through the end of the current reporting period.

Number of Actions (Column 6) are the number of post-AMS procurement actions that correlate to the "Actual This Period" procurement obligations (Column 3) or the "Cumulative Actual to Date" (Column 4).

SAMPLE 4 – (cont'd.)

FEDERAL AVIATION ADMINISTRATION POST-ACQUISITION MANAGEMENT SYSTEM

MAJOR PROCUREMENT PROGRAM GOALS (ACTUAL) REPORT*

REPORTING OFFICE/DATE OF REPORT _____

FISCAL YEAR _____

(Dollars in)

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6
		Fiscal Year \$ Goal	Actual This Period	Cumulative Actual to Date	Number of Actions
1.	Total Awards	\$	\$		
2.	Awards to small Business Concerns (Includes Items 2.1, 3, 4, and 5 below)	\$	\$		
2.1	Very Small Business Set- Asides				
3.	SEDB (8(a)) Set-Asides	\$	\$		
4.	Awards to Small Business Concerns owned and Controlled by Socially and Economically Disadvantaged Individuals (Exclude Item 3)	\$	\$		
5.	Awards to Small business Concerns Owned and Controlled by Women (Exclude Item 3)	\$	\$		
6.	Total Subcontracts Awarded by Prime Contractors	\$	\$		
7.	Subcontracts Awarded to	\$	\$		

	Small Business Concerns				
8.	Subcontracts Awarded to Small business Concerns Owned and Controlled by Socially and Economically Disadvantaged Individuals	\$	\$		
9.	Subcontracts Awarded to Small Business Concerns Owned and Controlled by Women	\$	\$		

*EXCLUDE INTERAGENCY AGREEMENTS AND AWARDS NOT MADE UNDER THE ACQUISITION MANAGEMENT SYSTEM ONLY.

(NOTE: PROVIDE THE DETAIL FOR ITEMS 2, 3, 4, AND 5 ON A SEPARATE SHEET. DETAIL THE INDIVIDUAL AWARDS (EXCEPT FOR SIMPLIFIED PURCHASES) THAT EQUATE TO THE TOTAL "ACTUAL THIS PERIOD" REPORTED. INCLUDE NAME OF CONTRACTOR, AWARD AMOUNT, APPLICABLE STANDARD INDUSTRIAL CLASSIFICATION AND ETHNIC GROUP.)